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Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 5

Complete if Known

Application Number	10/062,798
Filing Date	01/31/2002
First Named Inventor	Jack J. Johnson
Art Unit	3693
Examiner Name	WEISBERGER, RICHARD C.
Attorney Docket Number	33472/1

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	1	US- 6,598,029	07/22/2003	Johnson, et al.	
	2	US- 6,202,051	03/13/2001	Woolston	
	3	US- 6,167,386	12/26/2000	Brown	
	4	US- 6,141,653	10/31/2000	Conklin, et al.	
	5	US- 6,131,087	10/10/2000	Luke, et al.	
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	18	US- 5,627,759	05/06/1997	Bearden, et al.	
	19	US- 5,615,269	03/25/1997	Micali	

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Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
	20	WO 01/75756 A1	10/11/2001	Geophonic Networks, Inc.		
	21	WO 98/38844	09/11/1998	Summit Telecom Systems, I		
	22	EP 0 329 901 A2	12/22/1988	Venkataraman		

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**INFORMATION DISCLOSURE
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Sheet

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	23	US- 5,606,602	02/25/1997	Johnson, et al.	
	24	US- 5,519,622	05/21/1996	Chasek	
	25	US- 5,508,913	04/16/1996	Yamamoto, et al.	
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	37	US- 6,243,691	06/05/2001	Fisher, et al.	
	38	US- 5,640,569	06/17/1997	Miller, et al.	
	39	US- 5,835,896	11/10/1998	Fisher, et al.	
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Filing Date	01/31/2002
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01/31/2002

First Named Inventor	Jack J. Johnson
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Jack J. Johnson

Art Unit	3693
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3693

Examiner Name	WEISBERGER, RICHARD C.
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Attorney Docket Number	33472/1
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		First Named Inventor	Jack J. Johnson
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		Examiner Name	WEISBERGER, RICHARD C.
Sheet 4	of 5	Attorney Docket Number	33472/1

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	44	Cramton, et al., "Auction Design for Standard Offer Service," Charles River Associates and Market Design, Inc, June 30, 1997 (date shown in header), 21 pages	
	45	Cramton, et al., "Rules for Standard Offer Service," Charles River Associates and Market Design, Inc, August 11, 1997 (date shown in header), 8 pages	
	46	Cramton, et al., "Auction Design for Standard Offer Service," Charles River Associates and Market Design, Inc, September 26, 1997 (date shown in header), 24 pages	
	47	Copy of PCT International Search Report in connection with International Publication No. WO 01/75756 A1 (2 sheets)	
	48	Copy of PCT International Preliminary Examination Report in connection with International Publication No. WO 01/75756 A1 (5 sheets)	
	49	Copy of PCT International Search Report in connection with International Publication No. WO 98/38844 (2 sheets)	
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	51	"Mitigating Greenhouse Gas Emissions: Voluntary Reporting; Increasing End-Use Energy Efficiency," Energy Information Administration, October, 1997 (123 pages)	
	52	Robert W. Kolb, "Futures, Options & Swaps," Blackwell Publishers, Inc., Third Edition, published 1999.	
	53	Rozek, "Competitive Bidding in Electricity Markets: A Survey," The Energy Journal, 1989, Vol. 10, No. 4 (15 pages)	

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NON PATENT LITERATURE DOCUMENTS			
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	54	Schmerken, "Lights Out: What Killed Off the California Power Exchange?" Wall Street & Technology, April 1, 2001 (7 pages)	
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	56	Preist, "Commodity Trading Using an Agent-Based Iterated Double Auction," ACM, 1999 (9 pages)	
	57	Cory, "Expert Systems for Power Applications," IEE Review, April, 1988, pp. 147-149	
	58	Veall, "On Estimating the Effects of Peak Demand Pricing," Journal of Applied Econometrics, January, 1986, Vol. 1, pages 81-93	
	59	Engle, et al., "Modelling Peak Electricity Demand," Journal of Forecasting, 1992, Vol. 11, pages 241-251	
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	62	Richter, Jr., et al., "Genetic Algorithm Evolution of Utility Bidding Strategies for the Competitive Marketplace," IEEE Transactions on Power Systems, Vol. 13, No. 1, February, 1997 (8 pages)	
	63	Richter, Jr., et al., "Comprehensive Bidding Strategies With Genetic Programming/Finite State Automata," IEEE Transactions on Power Systems, Vol. 14, No. 4, November, 1999, (Copyright 1998) (8 pages)	

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